

Summary of Changes  
to  
Procedure 200.1  
Vital Records Procedure

**Revised Version Issued as P 200.1A**

LM Procedure 200.1, Vital Records Procedure of 5/21/06, has undergone minor revisions. The procedure has been revised to reflect changes in definitions and formatting and to ensure the references cited and the vital records schedule remain current. Please replace LM Procedure 200.1 with LM Procedure 200.1A.

# U.S. Department of Energy Office of Legacy Management



## Procedure: 200.1

Effective: 7/3/06

SUBJECT: VITAL RECORDS

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1. PURPOSE.

This procedure establishes a process for the identification, protection, and retrieval of vital records needed by the U.S. Department of Energy (DOE) Office of Legacy Management (LM) for continuity of operations before, during, and after emergencies and for those records needed to protect the legal and financial rights of the Federal government and individuals affected by government activities.

2. CANCELLATION. None

3. REFERENCES.

- a. 36 Code of Federal Regulations (CFR) Part 1236, Management of Vital Records
- b. Executive Order 12656, Agency Responsibilities During National Emergency
- c. DOE Order 243.1, Records Management Program
- d. DOE Order 243.2, Vital Records
- e. DOE Manual 470.4-4, Information Security
- f. LM Procedure 200.4, Records Management
- g. LM Procedure 200.1-5, Records Disaster Prevention, Mitigation, and Recovery
- h. LM Procedure 200.3, Classified, Sensitive, and Proprietary Document Handling
- i. Vital Records and Disaster Mitigation and Recovery: An Instructional Guide, National Archives and Records Administration (NARA)

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**INITIATED BY:** Business and Operations

**NO. OF PAGES/ATTACHMENTS:** 8 pages, 2 attachments

#### 4. DEFINITIONS.

a. Classified Information --

- (1) Information that has been determined pursuant to Executive Order 12958, or any successor order, or the Atomic Energy Act of 1954 (42 United States Code [U.S.C.] 2011), to require protection against unauthorized disclosure.
- (2) Certain information requiring protection against unauthorized disclosure in the interests of national defense and security or foreign relations of the United States pursuant to Federal statute or executive order. The term includes Restricted Data, Formerly Restricted Data, and National Security Information. The potential damage to the national security of each is denoted by the classification levels Top Secret, Secret, or Confidential.

b. Cycling -- The periodic removal of obsolete copies of vital records and replacement with copies of current vital records. This may occur daily, weekly, quarterly, annually, or at other designated intervals.

c. Disaster -- An unexpected occurrence inflicting destruction and distress and having adverse effects on LM operations.

d. Emergency -- A situation or occurrence of a serious nature (e.g., fire, flood, electrical failure) developing suddenly and unexpectedly requiring immediate action.

e. Emergency Operating Records -- Records essential to the continued performance or reconstitution of the Federal Government during and after an emergency. Examples of these records include emergency plans, delegations of authority, staffing assignments, and selected records needed to continue critical agency operations, as well as those that assist LM and its contractors in conducting operations under emergency conditions and in resuming operations after an emergency.

f. File Plan -- A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility.

g. LM Personnel -- Federal and contractor personnel associated with LM.

h. Legal and Financial Rights Records -- Records essential to the preservation of the legal and financial rights of individual citizens and the Federal government. Examples of these records include accounts receivable and payable records, social security records, payroll records, retirement records, and insurance records.

- i. Records -- All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them.
- j. Record Series -- Documents maintained as a collection because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, use, or access.
- k. Records Liaison Officer (RLO) -- Individual, designated by the PRO, responsible for overseeing the LM records management program in cooperation with the DOE Records Officer.
- l. Records Points of Contact (POCs) -- Designated LM staff members who support records management activities for their respective sites and assigned organizations.
- m. Unclassified Controlled Nuclear Information (UCNI) -- Certain unclassified government information prohibited from unauthorized dissemination under section 148 of the Atomic Energy Act:
  - (1) Which concerns atomic energy defense programs; and
  - (2) Which pertains to the design of production facilities or utilization facilities; security measures (including security plans, procedures, and equipment) for the physical protection of production or utilization facilities; nuclear material contained in such facilities; or nuclear material in transit; the design, manufacture, or utilization of any nuclear weapon or component if the design, manufacture, or utilization of such weapon or component was contained in any information declassified or removed from the Restricted Data category by the Assistant Secretary for Defense Programs (or the head of the predecessor agency of the Department of Energy) pursuant to section 142 of the Atomic Energy Act; or whose unauthorized dissemination, as determined by a Controlling Official, could reasonably be expected to have a significant adverse effect on the health and safety of the public or the common defense and security by significantly increasing the likelihood of illegal production of nuclear weapons; or theft, diversion, or sabotage of nuclear materials, equipment, or facilities.

- n. Vital Record -- A record that is essential to satisfy the continued operation or recovery of an organization during and after an emergency or a record required to protect the legal and financial rights of the Federal government and any individual affected by Federal government activities.
- o. Vital Records Schedule -- A management tool used by LM to identify essential operating and financial records, their locations, and the measures being used for their protection.
- p. Vital Records Program -- The policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions or to protect the Federal government's rights or those of its citizens. This is a program element of an agency's emergency management function.

5. QUALITY CONTROL.

- a. This procedure shall be reviewed annually and as necessary by the RLO to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.
- b. A Vital Records Schedule is included in Attachment A. Additions, changes, or deletions to this schedule must be coordinated with the RLO. The Vital Records Schedule shall be updated as needed, but at least annually. LM will keep a copy of the schedule at each central filing station.
- c. Only the most recent and complete version of a record shall be treated as the vital record. The LM File Plans govern the continued retention and ultimate disposition of official records used for vital records purposes.
- d. LM vital records shall be retained according to the published LM File Plan.

6. RESPONSIBILITIES.

- a. LM Office Directors:
  - Designate Records POCs, and other LM personnel as appropriate, to identify, protect, and retrieve vital records at each geographic location as appropriate.
  - Ensure that Records POCs are appropriately informed about vital records and their responsibilities for creation, maintenance, use, and disposition of vital records.

b. The RLO:

- Implements the LM Vital Records Program and works with offices in identifying, maintaining, and protecting LM's vital records.
- Develops site-specific processes for transporting and storing documents stored offsite as part of vital records protection effort.

c. Designated Records POCs and other LM personnel support efforts, with RLO oversight, to ensure the survival of vital records in case of an emergency or disaster in accordance with the LM Records Disaster, Prevention, Mitigation, and Recovery Plan.

7. TRAINING REQUIREMENTS.

The management and control of vital records will be included in the annual Records Management training.

8. DOCUMENT CONTROL.

- a. The current and official controlled hard copy version of this document shall reside with the Directives Manager.
- b. An electronic, read-only version of this document shall be placed on the LM Intranet by the Directives Manager.
- c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

The LM vital records process is illustrated in Attachment B.

a. Identification

(1) The RLO:

- (a) Identifies LM vital record series by determining which series contain emergency operating records or legal and financial rights records. Records that fall into either of these categories are considered vital records.
- (b) Provides a listing of vital records series to Records POCs.

(2) The Records POCs review each location's existing and new records to identify records in the record series identified by the RLO as vital.

NOTE: Records POCs should further review documents considered to be vital records to determine if any contain classified information or UCNI. LM Procedure 200.3, Classified, Sensitive, and Proprietary Document Handling provides guidance on determining whether a record falls into one of these categories.

b. Protection and Retrieval

(1) Records POCs:

(a) Evaluate the importance of the location's vital records series based on the following factors:

- How often the location's vital records are accessed.
- The volume of vital records and how long they will be retained.
- How frequently the records are updated.
- Required security precautions.
- The records' susceptibility to physical destruction (from handling, humidity, etc.).
- Additional information contained in Attachment A. – LM Vital Records Schedule.

(b) Select an appropriate protection method weighing the factors listed above and the resources available to protect vital records. In most cases, Records POCs determine that preserving duplicate copies of the vital records is the most appropriate protection method. However, based on the above evaluation, Records POCs may instead decide to either:

- Protect and maintain source information needed to reconstruct vital records, or
- Store vital records onsite in special equipment (e.g., fire-resistant cabinets, safes, vaults).

(c) When using duplicate copies as a protection method:

- Store duplicate copies in an offsite location or, if in the same location, at least far enough away from the official

records so that both sets are not damaged in the same emergency or disaster.

- Routinely generate duplicates as part of normal operations to facilitate cycling of the vital record copies.
  - Use photocopies of paper media or a paper and electronic media combination as the duplicate form.
  - Use copies of official vital records as the active records when possible. The original record cannot be recovered if it is lost or inadvertently destroyed during active reference.
- (d) Ensure that the protection method selected properly addresses each of the following requirements:
- Vital records (or their duplicate copies) needed during an emergency or disaster shall be readily accessible.
  - Emergency operating records must be immediately accessible for use by management or emergency response personnel during an emergency or disaster.
  - Legal and financial rights records must be available on an as-needed basis. However, records that have the properties of both emergency operating records and legal and financial rights records will be treated as emergency operating records when storage, protection, and accessibility considerations are being made.
- (e) Create appropriate backups of vital records, if they exist only in electronic format. The backup data must be retrievable, including necessary equipment, software, and documentation, in a reasonable amount of time. [Note: Computer backup tapes created by the location's Information Technology group during the normal course of system maintenance are acceptable as the backup copy for vital records maintained on the site network.]
- (f) Protect vital records from disaster to the extent possible in accordance with LM Procedure 200.1-5, Records Disaster Prevention, Mitigation, and Recovery.
- (2) When vital records contain classified information or UCNI, Records POCs follow additional protection and security measures in LM Procedure 200.3, Classified, Sensitive, and Proprietary Document Handling.



10. ATTACHMENTS.

- a. Attachment A. – LM Vital Records Schedule
- b. Attachment B. – LM Vital Records Process Flowchart

Approved: Original signed by Celinda H. Crawford  
Director  
Office of Business Operations

**Distribution:** As required

## Attachment A. – LM Vital Records Schedule

| Grand Junction, Colorado                 |   |            |   |                       |   |                 |  |  |
|--|---|------------|---|-----------------------|---|-----------------|--|--|
| Vital Record                             | Location  | Media      | Electronic Application  | Reference Activity    | Protection  | Class           | Organization   | Records Description  |
| Emergency Preparedness and Response Plan | Emergency Operating Center  | Paper      | None  | Annually or as needed | Dual storage  | High Priority   | Health & Safety  | Provides protocol, contacts, steps, and evacuation plans in the event of an actual or potential emergency/disaster   |
| Medical information                      | Occupational Health Office (active)<br><br>Records storage vault (inactive)                   | Paper      | None  | As needed             | one-hour fire-rated cabinets (active)<br><br>Records Vault (inactive)                               | Medium Priority | Wellness Connection  | Employee medical files   |
| General employee information             | Federal: DOE Personnel Office at Washington, DC<br><br>Contractor: Human Resources office     | Paper      | None  | As needed             | Federal: responsibility of DOE Personnel Office<br><br>Contractor: one-hour fire-rated file cabinet | Medium Priority | Federal: DOE Personnel Office, Washington, DC<br><br>Contractor: Human Resources | Federal: records in the Official Personnel Folder<br><br>Contractor: individual employee records, such as insurance, retirement, 401(k), and length of service |
| Payroll records                          | Federal: DOE Washington, DC<br><br>Contractor: S.M. Stoller, corporate offices, Lafayette, CO | Electronic | Federal: DOE Automated Time Attendance and Production System (ATAAPS)<br><br>Contractor: Stoller Deltek Time Collection | Daily                 | System backups stored at different locations  | Medium Priority | Federal: DOE, Washington, DC<br><br>Contractor: S.M. Stoller                     | Payroll records, such as hours worked, vacation earned and taken, and accounts charged   |

## Attachment A. – LM Vital Records Schedule

| Grand Junction, Colorado - (continued)  |                                 |                    |                               |                       |   |                 |                        |   |
|---|---------------------------------|--------------------|-------------------------------|-----------------------|---|-----------------|------------------------|---|
| Vital Record  | Location                        | Media              | Electronic Application        | Reference Activity    | Protection  | Class           | Organization           | Records Description   |
| Accounts receivable and accounts payable  | Computer room, Bldg. 12         | Electronic & paper | JAMIS                         | Daily                 | System backups stored off site<br>Hard copy stored in records vault | Medium Priority | Finance                | Financial and accounting files, such as cost vouchers, receipt accounts, and general accounts     |
| Cost and general ledger   | Computer room, Bldg. 12         | Electronic         | JAMIS                         | Weekly                | System backups stored off site                                      | Low Priority    | Finance                | Summary and detailed data of all costs and expenses   |
| Real estate & agreement records   | Computer room, Bldg. 12         | Electronic & paper | Scanned images in Hummingbird | As needed             | System backups stored off site<br>Hard copy stored in records vault | Medium Priority | Property               | Property records including leases, title papers, abstracts, and certificates                      |
| Uranium Lease and Uranium Mill Tailings Remedial Action (UMTRA) Ground Water lease or access agreements | Bldg. 938/205 and Bldg. 810/112 | Paper              | None                          | As needed             | Dual storage plus additional copies held by the lessors             | Low Priority    | Land Management        | Uranium Lease Management and UMTRA Ground Water Projects property lease or access agreement files |
| Environmental permits   | Computer room, Bldg. 12         | Electronic & paper | Scanned images in Hummingbird | As needed             | System backups stored off site<br>Hard copy stored in Bldg. 810/170 | Low Priority    | Property               | Access agreements, well monitoring permits, and various environmental permits                     |
| Local Area Network Continuity of Operations and Disaster Recovery Plan                                  | Computer room, Bldg. 12         | Paper              | None                          | Annually or as needed | Dual storage plus additional copy maintained with offsite backups   | Medium Priority | Information Technology | The plan addresses the retrieval of electronic records from backup tapes                          |

## Attachment A. – LM Vital Records Schedule

| Morgantown, West Virginia                            |  |            |   |                       |   |                 |  |  |
|--|--|------------|---|-----------------------|---|-----------------|--|--|
| Vital Record   | Location   | Media      | Electronic Application  | Reference Activity    | Protection  | Class           | Organization   | Records Description  |
| Continuity of Operations (COOP) Emergency Procedures | The COOP is maintained by and under the control of the National Energy Technology Laboratory (NETL)      | Paper      | None  | Annually or as needed | At and under the control of NETL  | High Priority   | The COOP is maintained by and under the control of NETL                      | Provides protocol, contacts, steps in the event of an actual or potential emergency/disaster   |
| Medical information                                  | NETL Occupational Health Office  | Paper      | None  | As needed             | At and under the control of NETL  | Medium Priority | NETL Occupational Health Office  | Employee medical files   |
| General employee information                         | Federal: DOE Human Resource Office<br>NETL<br><br>Contractor: Human Resources Office, Grand Junction, CO | Paper      | None  | As needed             | Federal: at and under the control of NETL<br><br>Contractor: one-hour fire-rated file cabinet | Medium Priority | Federal: at and under the control of NETL<br><br>Contractor: Human Resources | Federal: records in the Official Personnel Folder<br><br>Contractor: individual employee records, such as insurance, retirement, 401(k), and length of service |
| Payroll records                                      | Federal: DOE Washington, DC<br><br>Contractor: S.M. Stoller, Corporate Offices, Lafayette, CO            | Electronic | Federal: DOE ATAAPS<br><br>Contractor: Stoller Deltek Time Collection | Daily                 | System backups stored at different locations  | Medium Priority | Federal: DOE, Washington, DC<br><br>Contractor: S.M. Stoller                 | Payroll records, such as hours worked, vacation earned and taken, and accounts charged   |
| Financial records                                    | DOE Washington, DC   | Electronic | DOE-wide system   | Daily                 | Not applicable for LM as all financial data are entered into a DOE-wide system                |                 |  |  |
| Contracts  | Contracting Officer's Office   | Paper      | None  | As needed             | Standard file cabinets  | Medium Priority | Contracting Officer  | Case files for each LM contract  |

## Attachment A. – LM Vital Records Schedule

| Pittsburgh, Pennsylvania     |  |            |   |                       |   |                 |  |  |
|------------------------------|--|------------|---|-----------------------|---|-----------------|--|--|
| Vital Record                 | Location   | Media      | Electronic Application  | Reference Activity    | Protection  | Class           | Organization   | Records Description  |
| COOP Emergency Procedures    | The COOP is maintained by and under the control of NETL  | Paper      | None  | Annually or as needed | At and under the control of NETL  | High Priority   | The COOP is maintained by and under the control of NETL                      | Provides protocol, contacts, steps in the event of an actual or potential emergency/disaster   |
| Medical information          | NETL Occupational Health Office  | Paper      | None  | As needed             | At and under the control of NETL  | Medium Priority | NETL Occupational Health Office  | Employee medical files   |
| General employee information | Federal: DOE Human Resource Office<br>NETL<br><br>Contractor: Human Resources Office, Grand Junction, CO | Paper      | None  | As needed             | Federal: at and under the control of NETL<br><br>Contractor: one-hour fire-rated file cabinet | Medium Priority | Federal: at and under the control of NETL<br><br>Contractor: Human Resources | Federal: records in the Official Personnel Folder<br><br>Contractor: individual employee records, such as insurance, retirement, 401(k), and length of service |
| Payroll records              | Federal: DOE Washington, DC<br><br>Contractor: S.M. Stoller, Corporate Offices, Lafayette, CO            | Electronic | Federal: DOE ATAAPS<br><br>Contractor: Stoller Deltek Time Collection | Daily                 | System backups stored at different locations  | Medium Priority | Federal: DOE, Washington, DC<br><br>Contractor: S.M. Stoller                 | Payroll records, such as hours worked, vacation earned and taken, and accounts charged   |
| Financial records            | DOE Washington, DC   | Electronic | DOE-wide system   | Daily                 | Not applicable for LM as all financial data are entered into a DOE-wide system                |                 |  |  |

## Attachment A. – LM Vital Records Schedule

| Washington, DC               |   |   |   |                       |   |                 |  |   |
|------------------------------|---|---|---|-----------------------|---|-----------------|--|---|
| Vital Record                 | Location  | Media                                     | Electronic Application  | Reference Activity    | Protection  | Class           | Organization   | Records Description   |
| COOP Emergency Procedures    | The COOP is maintained by and under the control of DOE Washington, DC   | Paper                                     | None  | Annually or as needed | At and under the control of DOE Washington, DC  | High Priority   | The COOP is maintained by and under the control of DOE Washington, DC                                | Provides protocol, contacts, and steps in the event of an actual or potential emergency/ disaster   |
| Medical information          | Occupational Health Office DOE- DC<br><br>LM-20 closure site – Federal Records Center (FRC)                                     | Paper                                     | None  | As needed             | At and under the control of DOE Washington, DC  | Medium Priority | Occupational Health Office DOE Washington, DC and LM-20  | Employee medical files<br><br>Closure site employee medical/ radiological (RAD) files   |
| General employee information | Federal: DOE Human Resource Office<br><br>Contractor: Human Resources Office Grand Junction, CO<br><br>LM-20 closure site - FRC | Paper                                     | None  | As needed             | Federal: at and under the control of DOE Washington, DC<br><br>Contractor: one-hour fire-rated file cabinet | Medium Priority | Federal: at and under the control of DOE Washington, DC and LM-20<br><br>Contractor: Human Resources | Federal: records in the Official Personnel Folder (OPF)<br><br>Contractor: individual employee records, such as insurance, retirement, and 401(k)<br><br>Closure site: employee personnel/ training files |
| Payroll records              | Federal: DOE Washington, DC<br><br>LM-20 closure site - FRC<br><br>Contractor: S.M. Stoller, Lafayette, CO                      | Electronic<br><br>Paper for closure sites | Federal: DOE ATAAPS<br><br>Contractor: Stoller Deltek Time Collection | Daily                 | System backups stored at different locations or (for LM-20) at FRC storage                                  | Medium Priority | Federal: DOE, Washington, DC<br><br>Contractor: S.M. Stoller   | Payroll records, such as hours worked, vacation earned and taken, and accounts charged<br><br>Closure site employee time card files   |
| Financial records            | DOE Washington, DC  | Electronic                                | DOE-wide system   | Daily                 | Not applicable for LM as all financial data are entered into a DOE-wide system                              |                 |  |   |

**Attachment A. – LM Vital Records Schedule**

| <b>Germantown, Maryland</b>  |   |              |                               |                           |  |                 |   |   |
|------------------------------|---|--------------|-------------------------------|---------------------------|--|-----------------|---|---|
| <b>Vital Record</b>          | <b>Location</b>   | <b>Media</b> | <b>Electronic Application</b> | <b>Reference Activity</b> | <b>Protection</b>  | <b>Class</b>    | <b>Organization</b>   | <b>Records Description</b>  |
| COOP Emergency Procedures    | The COOP is maintained by and under the control of DOE Washington, DC | Paper        | None                          | Annually or as needed     | At and under the control of DOE Washington, DC                                 | High Priority   | The COOP is maintained by and under the control of DOE Washington, DC | Provides protocol, contacts, steps in the event of an actual or potential emergency or disaster |
| Medical information          | Occupational Health Office DOE Washington, DC                         | Paper        | None                          | As needed                 | At and under the control of DOE Washington, DC                                 | Medium Priority | Occupational Health Office DOE Washington, DC                         | Employee medical files  |
| General employee information | Federal: DOE Human Resource Office Washington, DC                     | Paper        | None                          | As needed                 | Federal: at and under the control of DOE Washington, DC                        | Medium Priority | Federal: at and under the control of DOE Washington, DC               | Federal: records in the Official Personnel Folder   |
| Payroll records              | Federal: DOE Washington, DC   | Electronic   | Federal: DOE ATAAPS           | Daily                     | System backups stored at different locations                                   | Medium Priority | Federal: DOE, Washington, DC  | Payroll records, such as hours worked, vacation earned and taken, and accounts charged          |
| Financial records            | DOE Washington, DC  | Electronic   | DOE-wide system               | Daily                     | Not applicable for LM as all financial data are entered into a DOE-wide system |                 |   |   |

## Attachment B. – LM Vital Records Process Flowchart

